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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/800,188	03/06/2001	Richard Dale Harrah	10006647-1

CONFIRMATION NO. 3393

## FORMALITIES LETTER



\*OC000000005934478\*

HEWLETT-PACKARD COMPANY  
Intellectual Property Administration  
P.O. Box 272400  
Fort Collins, CO 80527-2400

Date Mailed: 04/04/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

The following item(s) appear to have been **omitted** from the application:

- Figure(s) 5 described in the specification.

I. Should applicant contend that the above-noted omitted item(s) was in fact deposited in the U.S. Patent and Trademark Office (USPTO) with the nonprovisional application papers, a copy of this Notice and a petition (and \$130.00 petition fee (37 CFR 1.17(h))) with evidence of such deposit **must** be filed within **TWO MONTHS** of the date of this Notice. The petition fee will be refunded if it is determined that the item(s) was received by the USPTO.

II. Should applicant desire to supply the omitted item(s) and accept the date that such omitted item(s) was filed in the USPTO as the filing date of the above-identified application, a copy of this Notice, the omitted item(s) (with a supplemental oath or declaration in compliance with 37 CFR 1.63 and 1.64 referring to such items), and a petition under 37 CFR 1.182 (with the \$130.00 petition fee (37 CFR 1.17(h))) requesting the later filing date **must** be filed within **TWO MONTHS** of the date of this Notice.

III. The failure to file a petition (and petition fee) under the above options (I) or (II) within **TWO MONTHS** of the date of this Notice (37 CFR 1.181(f)) will be treated as a constructive acceptance by the applicant of the application as deposited in the USPTO. **THIS TWO MONTH PERIOD IS NOT EXTENDABLE UNDER 37**

**CFR 1.136(a) or (b).** In the absence of a timely filed petition in reply to this Notice, the application will maintain a filing date as of the date of deposit of the application papers in the USPTO, and original application papers (i.e., the original disclosure of the invention) will include only those application papers present in the USPTO on the date of deposit.

In the event that applicant elects not to take action pursuant to options (I) or (II) above (thereby constructively electing option (III)), amendment of the specification to renumber the pages consecutively and cancel incomplete sentences caused by any omitted page(s), and/or amendment of the specification to cancel all references to any omitted drawing(s), relabel the drawing figures to be numbered consecutively (if necessary), and correct the references in the specification to the drawing figures to correspond with any relabelled drawing figures, is required. Any drawing changes should be accompanied by a copy of the drawing figures showing the proposed changes in red ink. Such amendment and/or correction to the drawing figures, if necessary, should be by way of preliminary amendment submitted prior to the first Office action to avoid delays in the prosecution of the application.

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*A copy of this notice **MUST** be returned with the reply.*



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Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

HEWLETT-PACKARD COMPANY  
Intellectual Property Administration  
P. O. Box 272400  
Fort Collins, Colorado 80527-2400

#Sector  
PATENT APPLICATION

ATTORNEY DOCKET NO. 10006647-1



IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Richard Dale Harrah et al

Serial No.: 09/800188

Examiner: UNKNOWN

Filing Date: Mar 06, 2001

Group Art Unit:

Title: Service Control Manager Security Manager Lookup

COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

TRANSMITTAL LETTER FOR SUBMITTAL OF MISSING PARTS

Sir:

This is in response to a Notice to File Missing Parts of Application under 37 CFR 1.53(f) mailed on 4/4/01. Enclosed is a copy of said Notice and the following documents and fees to complete the filing requirements of the above-identified application.

(X) Executed Declaration and Power of Attorney. The above-identified application is the same application which the inventor executed by signing the enclosed declaration.

( ) Statutory basic filing fee ( ) Utility \$710.00 ( ) Design \$320.00

( ) Additional claim fees of \$

(X) Missing Parts Surcharge \$130.00

( ) A Petition for Extension of Time for reply to Notice of Missing Parts is attached.

( ) one month \$110.00  
( ) two months \$390.00  
( ) three months \$890.00  
( ) four months \$1390.00

Please charge to Deposit Account 08-2025 the sum of \$130.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account 08-2025 pursuant to 37 CFR 1.25.

(X) A duplicate copy of this transmittal letter is enclosed.

Respectfully submitted,

Richard Dale Harrah et al

By T. Grant Ritz

T. Grant Ritz

Attorney/Agent for Applicant(s)  
Reg. No. 39,819

Date: 6/4/01

Telephone No.: (970) 898-0697

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit: 6/4/01

Typed Name: Lanae L. Schlitt

Signature: Lanae L. Schlitt

#5

Attorney Docket No. 10006647-1

Attorney Docket No.: 10006647-1

Patent

UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Richard D. HARRAH, et al. Examiner: Unknown  
Serial No.: 09/800,188 Art Unit: Unknown  
Filed: March 6, 2001  
Title: SERVICE CONTROL MANAGER SECURITY MANAGER LOOKUP

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**Box Missing Parts**  
Commissioner for Patents  
Washington, D.C. 20231

**RESPONSE TO NOTICE TO FILE MISSING PARTS**  
**OF NONPROVISIONAL APPLICATION UNDER 37 CFR 1.53(b)**

Sir:

In response to the Notice To File Missing Parts dated April 4, 2001, please find enclosed the following:

- Fully executed Declaration and Power of Attorney in compliance with 37 CFR 1.63
- Late filing fee surcharge of \$130.00 for late submittal of the Declaration in compliance with 37 CFR 1.27
- Copy of Notice To File Missing Parts Of Nonprovisional Application
- A copy of a PTO date-stamped filing receipt confirming the filing of a Preliminary Amendment on May 25, 2001 to delete any reference to Figure 5, i.e., the paragraph at Page 2, lines 11-12.

Respectfully submitted,

Date: 6-4-01

T. D. R.  
Ref # 39,819

Attorney No.: 10006647-1



PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventors: Richard D. HARRAH, et al.  
Application Serial No.: 09/800,188 Group: Unknown  
Filing Date: March 6, 2001 Examiner: Unknown  
Entitled: SERVICE CONTROL MANAGER SECURITY  
MANAGER LOOKUP

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Commissioner of Patents  
Washington, D.C. 20231

May 25, 2001

Preliminary Amendment

Sir:

Preliminary to examination of the above-identified instant application,  
Applicants submit the following amendments:

In the Specification:

Please delete the paragraph at Page 2, lines 11-12, in its entirety.

Please replace the paragraph beginning at page 8, line 13, with the following  
rewritten paragraph:

--Tool execution may start with a request from the user 210 to run a tool 240 on one or more nodes 130. The request may include task information, such as the name of the tool to be run, the location of the tool, the nodes on which to run the tool, and required arguments of the tool, if any. An example of tool execution is described in United States patent application of Lister, Sanchez, Drees, and Finz, entitled "Service Control Manager Tool Execution."--

Attorney Registration No.: 10006647-1

### Remarks

The above amendment is made in order to correct an inadvertent error. Further, on page 2 of the Instant Application, reference is made to Figure 5 and, inasmuch as this application has only four (4) figures, the erroneous reference has been deleted. Applicants submit that no new matter has been added by the above.

Entry of this Preliminary Amendment is respectfully requested and examination on the merits is earnestly solicited.

Respectfully submitted,

Richard D. Harrah, et al.

Date: May 17, 2001

By:

Sean Wooden 47,743 for

Sean Wooden

Attorney/Agent for Applicants

Registration No.: 43,997

DORSEY & WHITNEY LLP

1001 Pennsylvania Avenue, NW

Suite #300 South

Washington, D.C. 20004

Telephone No.: (202) 824-8800

Attorney Ref No.: 10006647-1

**VERSION WITH MARKINGS TO SHOW CHANGES MADE****In the Specification**

The paragraph at page 2, lines 11-12 has been amended as follows:

[Figure 5 is a flow chart of a method for checking a user's authorization to run a tool after receiving a tool execution request from the user.]

The paragraph beginning at page 8, line 13, has been amended as follows:

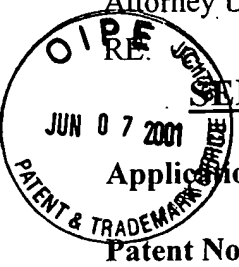
Tool execution may start with a request from the user 210 to run a tool 240 on one or more nodes 130. The request may include task information, such as the name of the tool to be run, the location of the tool, the nodes on which to run the tool, and required arguments of the tool, if any. An example of tool execution is described in United States patent application of Lister, Sanchez, Drees, and Finz, entitled "Service Control Manager Tool Execution," [, and filed on the same day herewith, which is incorporated herein by reference.]

420503-232(10006647-1)(565)

Attorney Docket Number

May 25, 2001

Date of filing enclosed papers



**SERVICE CONTROL MANAGER SECURITY MANAGER LOOKUP**

Application No.: 09/800,188

Filing date: 03/06/2001

Patent No.: \_\_\_\_\_

Issue date: \_\_\_\_\_

**Applicant/Inventor: Richard D. HARRAH, et al.**

The following items/fees were received from Dorsey & Whitney, Washington, D.C., by the U.S. Patent & Trademark Office:

**ITEMS**

- ☐ PCT Request
- ☐ New Application
- ☐ Formal Drawings
- ☐ Power of Attorney (PCT Rule 90.4)
- ☐ Executed Combined Declaration and Power of Attorney
- ☐ Response to Notice to File Missing Parts of Application
- ☐ Certificate of Correction
- ☐ Request for Certificate of Correction of Patent
- ☐ Supplemental Information Disclosure Statement
- ☐ IDS w/PTO - 1449 form w/reference copy
- ☐ Letter to Draftsman
- ☐ Issue Fee Transmittal PTOL Form 85B
- ☐ Issue Fee Transmittal Letter
- ☐ Amendment Under 37 CFR § 1.312(a)
- ☐ Assignment w/Recordation cover Sheet
- ☐ New U.S. Provisional Patent/Design Application (12 sheets)
- ☐ National Stage Application
- ☐ Translation of National Stage
- ☐ Priority Document - CC of .....App. #      Date

- ☐ Notice of Appeal
- ☐ Appeal Brief (in triplicate)
- ☐ Reply Brief (in triplicate)
- ☐ Request for Oral Hearing
- ☐ Confirmation of Hearing Petition
- ☐ Response

**OTHER ITEMS**

- ☐ R'qst. For Corrected Assignment along w/new recordation sheet and enclosures

**X Transmittal Letter**

- ☐ New App. Receipt Post Card self/stamped
- ☐ Fee Transmittal Sheet
- ☐ Filing fee
- ☐ Claim to priority
- ☐ Additional Claim fees
- ☐ Recordation/Indexing fee
- ☐ Issue Fee
- ☐ Extension of Time Fee

**TOTAL FEES = \$0.00**

**To be charged to Deposit Account**  
**No. 08-2025**

**RETURN DATE-STAMPED**

**BLUE SHEET TO:**

***Melissa McKibben***

**TEL. (703) 288-5246**

**X Preliminary Amendment**

☐ Status Check Inquiry